

Applicants: Roger W. Phillips, et al.  
 Serial No.: 09/489,250  
 Filing Date: January 21, 2000  
 For: OPTICALLY VARIABLE SECURITY DEVICES

TC 2600 MAIL ROOM

RECEIVED  
JUN 12 2000INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
<u>DS</u> A1	4,168,983	09/25/79	Vittands, et al.	106	14.12	04/13/78
<u>DS</u> A2	4,434,010	02/28/84	Ash	106	291	10/26/81
<u>DS</u> A3	4,705,300	11/10/87	Berning, et al.	283	91	11/21/86
<u>DS</u> A4	4,705,356	11/10/87	Berning, et al.	350	166	07/13/84
<u>DS</u> A5	4,721,217	01/26/88	Phillips, et al.	215	230	08/07/86
<u>DS</u> A6	4,838,648	06/13/89	Phillips, et al.	350	166	05/03/88
<u>DS</u> A7	5,009,486	04/23/91	Dobrowolski, et al.	350	164	03/23/89
<u>DS</u> A8	5,059,245	10/22/91	Phillips, et al.	106	22	09/26/88
<u>DS</u> A9	5,084,351	01/28/92	Phillips, et al.	428	411.1	03/29/89
<u>DS</u> A10	5,135,812	08/04/92	Phillips, et al.	428	403	03/27/91
<u>DS</u> A11	5,171,363	12/15/92	Phillips, et al.	106	22	06/21/91
<u>DS</u> A12	5,278,590	01/11/94	Phillips, et al.	359	589	04/26/89
<u>DS</u> A13	5,279,657	01/18/94	Phillips, et al.	106	22	06/23/92
<u>DS</u> A14	5,339,737	08/23/94	Lewis, et al.	101	454	05/13/93
<u>DS</u> A15	5,464,710	11/07/95	Yang	430	1	12/10/93
<u>DS</u> A16	5,549,774	08/27/96	Miekka, et al.	156	209	05/11/92
<u>DS</u> A17	5,571,624	11/05/96	Phillips, et al.	428	403	12/15/94
<u>DS</u> A18	5,624,076	04/29/97	Miekka, et al.	241	3	06/07/95
<u>DS</u> A19	5,629,068	05/13/97	Miekka, et al.	428	148	06/07/95
<u>DS</u> A20	5,672,410	09/30/97	Miekka, et al.	428	148	02/09/93
<u>DS</u> A21	Re. 35,512	05/20/97	Nowak, et al.	101	454	09/19/95

Examiner:

Date Considered:

8/10/01

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicants: Roger W. Phillips, et al.  
 Serial No.: 09/489,250  
 Filing Date: January 21, 2000  
 For: OPTICALLY VARIABLE SECURITY DEVICES

Foreign Patent Documents

Examiner Initial*	Document Number	Publ. Date	Country or Patent Office	Sub Class	Class	Trans-lation
DS A22	WO 98/12583	03/26/98	PCT			N/A

Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner Initial\*

DS A23 The Mearl Corporation brochure for "Mearl Iridescent Film," Peekskill, New York.

DS A24 J.A. Dobrowolski; K.M. Baird; P.D. Carman; and, A. Waldorf, "Optical Interference Coatings for Inhibiting of Counterfeiting," Optica Acta, 1973, Vol. 20, No. 12, 925-937.

DS A25 The R.D. Mathis Company Manual for "Thin Film Evaporation Source Reference," Long Beach, California.

DS A26 Minolta Manual for "Precise Color Communication, Color Control From Feeling to Instrumentation," Pages 18, 20, 22, 23, 46, 47, 48 and 49.

DS A27 Frans Defilet, LGZ Landis & Gyr Zug Corporation, "Kinograms 'Optical Variable Devices' (OVD's) For Banknotes, Security Documents and Plastic Cards," San Diego, April 1-3, 1987

DS A28 S.P. McGrew, "Hologram Counterfeiting: Problems and Solutions," SPIE, Volume 1210 Optical Security and Anticounterfeiting Systems, 1990, pages 66-76

DS A29 Rudolf L. van Renesse, "Security Design of Valuable Documents and Products," SPIE, Vol. 2659, June 1996, pages 10-20

DS A30 Steve McGrew, "Countermeasures Against Hologram Counterfeiting," Internet site [www.iea.com/nli/publications/countermeasures.htm](http://www.iea.com/nli/publications/countermeasures.htm), January 6, 2000

DS A31 Roger W. Phillips, "Optically Variable Films, Pigments and Inks," SPIE Vol. 1323, Optical Thin Films III: New Developments, 1990, pages 98-109

DS A32 Roger W. Phillips and Anton F. Bleikolm, "Optical Coatings for Document Security," Applied Optics, Vol. 35, No. 28, October 1, 1996, pages 5529-5534

DS A33 J.A. Dobrowolski; F.C. Ho; and, A. Waldorf, "Research on Thin Film Anticounterfeiting Coatings at the National Research Council of Canada," Applied Optics, Vol. 28, No. 15, July 15, 1989, pages 2702-2717

DS A34 J. Rolfe, "Optically Variable Devices for Use on Bank Notes," SPIE, Vol. 1210 Optical Security and Anticounterfeiting Systems, pages 14-19, 1990

Examiner: DS SA

Date Considered:

8/10/01

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicants: Roger W. Phillips, et al.  
 Serial No.: 09/489,250  
 Filing Date: January 21, 2000  
 For: OPTICALLY VARIABLE SECURITY DEVICES



Att'y Docket No. 13676.152  
 Group:

D A35 OVD Kinogram Cor, "OVD Kinogram Management of Light to Provide Security," Internet site [www.kinogram.com/xhome/home.html](http://www.kinogram.com/xhome/home.html), December 17, 1999

D A36 LM. Boswarva, et al., "Roll Coater System for the Production of Optically Variable Devices (OVD's) for Security Applications," Proceedings, 33rd Annual Technical Conference, Society of Vacuum Coaters, pages 103-109 (1990)

8/10/01

*D S*  
**References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citation not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as reference cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

TC 2800 MAIL ROOM  
 MAR 12 2001

RECEIVED

G:\DATA\WPDOCS2\UBS\13676152.149

BEST AVAILABLE COPY

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicants: Roger W. Phillips, et al.  
 Serial No.: 09/489,250  
 Filing Date: January 21, 2000  
 For: OPTICALLY VARIABLE SECURITY DEVICES



SUPPLEMENTAL  
INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

Examiner Initial*	Patent Number	Issue Date	Name	Class	Sub Class	Filing Date
DS A1	4,066,280	01/03/78	LaCapria	283	8	06/08/76
DS A2	5,106,125	04/21/92	Antes	283	91	11/26/90

Foreign Patent Documents

Examiner Initial*	Document Number	Publ Date	Country or Patent Office	Sub Class	Class	Trans-lation
DS A3	DE 43 43 387	06/29/95	Germany			No
DS A4	EP 0 756 945	02/05/97	Europe			N/A

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.